

09/980606

3 Rec'd PCT/PTO

15 NOV 2001 #2

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NO. EL717377634US

Applicant : Manabu Yamada, et al.
Application No. : N/A
Filed : November 15, 2001
Title : OPTICAL WAVEGUIDE MODULATOR EQUIPPED
WITH AN OUTPUT LIGHT MONITOR
Grp./Div. : N/A
Examiner : N/A
Docket No. : 45923/DBP/A400

INFORMATION DISCLOSURE STATEMENT
37 CFR § 1.97(b)

Assistant Commissioner for Patents
Washington, D.C. 20231

Post Office Box 7068
Pasadena, CA 91109-7068
November 15, 2001

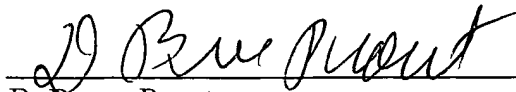
Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the Manual of Patent Examining Procedure §§ 609 and 707.05(b), enclosed is FORM PTO-1449 listing the references that are known to applicant. Copies of each of the listed references are enclosed. Also enclosed is a copy of the International Search Report. This filing is timely because it is made during one of the periods described in 37 CFR § 1.97(b).

It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application. Applicant also requests that an initialed copy of FORM PTO-1449 be entered in the application file and returned to applicant with the next communication from the Office in accordance with MPEP § 609.

Respectfully submitted,
CHRISTIE, PARKER & HALE, LLP

By



D. Bruce Prout
Reg. No. 20,958
626/795-9900

DBP/aam

Enclosures: PTO-1449, w/references, and ISR

09/980606

3 Rec'd PCT/PTO 15 NOV 2001

FORM PTO-1449

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Attorney Docket Number 45923/DBP/A400

Application Number N/A

Filing Date November 15, 2001

Applicant(s) Manabu Yamada, et al.

Group Art Unit N/A

Examiner Name N/A

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	60-63822	05/1985	Japan				X
	4-24610	01/1992	Patent Abstract of Japan				
	4-24610	01/1992	Japan				
	3-145623	06/1991	Patent Abstract of Japan				
	3-145623	06/1991	Japan				
	1-267515	10/1989	Patent Abstract of Japan				
	1-267515	10/1989	Japan				
	2-165117	06/1990	Patent Abstract of Japan				
	2-165117	06/1990	Japan				
	5-100194	04/1993	Patent Abstract of Japan				
	5-100194	04/1993	Japan				
	9-79861	03/1997	Patent Abstract of Japan				
	9-79861	03/1997	Japan				

EXAMINER
SIGNATUREDATE
CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

09/980606

13 Rec'd PCT/PTO 15 NOV 2001

FORM PTO-1449

INFORMATION DISCLOSURE**STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Attorney Docket Number 45923/DBP/A400

Application Number N/A

Filing Date November 15, 2001

Applicant(s) Manabu Yamada, et al.

Group Art Unit N/A

Examiner Name N/A

FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	5-346395	12/1993	Patent Abstract of Japan				
	5-346395	12/1993	Japan				

OTHER DOCUMENTS

EXAMINER INITIALS	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	International Search Report for PCT/JP01/02073. International Searching Authority Japanese Patent Office. Date of International Search Report April 12, 2001

EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

DBP/aam

AAM PAS395313.1*-11/15/01 11:16 AM